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Owner: Kimberly Ashley: Exe Dir Of Univ & Comm Affair
Policy Area: Governance
References:

Institutional Conflicts of Interest

Scope:

This policy applies to The University of Texas Health Science Center at Tyler (the "University") and University employees and personnel.

Purpose:

To define the process by which institutional conflicts of interest are identified, disclosed and managed.

DEFINITIONS:

Institutional Conflicts of Interest (ICOI) – Institutional conflicts of interest arise when the University's financial interests or those of its Institutional Officials constitute Significant Outside Financial Interests and thus pose risks of undue influence on decisions involving the University's primary interests or missions.

Institutional Official – The President and Executive Officers who are authorized to execute contracts on behalf of the University.

Significant Outside Financial Interests of the University–

1. Cumulative gifts within the last seven (7) years to the University of \$1,000,000 or more from any person, business, or entity.
2. Payments from a person, business, or entity for the licensing of intellectual property that, on aggregate, exceed \$250,000 per fiscal year.
3. Equity and ownership interests in entities held by the University, including equity and ownership interest resulting from University technology transfer activities, where:
 - a. Such equity or ownership interest has a value of more than \$1,000,000 in the case of a publicly-traded entity; or
 - b. The University has an ownership interest in a non-publicly traded entity, and the capitalization of the entity multiplied by the percentage ownership interest of the University exceeds \$1,000,000.

Significant Outside Financial Interests for an Institutional Official – include Substantial Interest in a Business Entity, and gifts over \$250, as described in UTS 180 and the University's IHOP Conflicts of Interest and Outside Activity policies.

POLICY:

Relationships between the University and public and private entities are encouraged, play an important role for the University to achieve its primary interests or missions and can be mutually beneficial. However, institutional conflicts of interests must not undermine the objectivity of, or missions or activities at, the University and must be identified, disclosed and managed to minimize the likelihood that the institutional conflict will pose risks of undue influence on decisions involving University primary interests or missions.

PROCEDURE:

Institutional Conflict of Interest (ICOI) Committee

The University's President or his/her designee will appoint an Institutional COI Committee. The ICOI Committee may include external members. The charge of the ICOI Committee will include: (1) identifying instances in which the University's own financial interests or those of its Institutional Officials pose risks of undue influence on decisions involving the University's primary interests or missions; and (2) developing and recommending plans for management of institutional conflicts of interest. The charge of the ICOI Committee also includes responsibilities for identifying and managing individual conflicts of interest and research conflicts of interest, in accordance with UTS 180, UTS 175, and the University's Conflicts of Interest and Outside Activities policies.

Identifying ICOIs

Institutional Officials

Individual conflicts of interest of Institutional Officials will be identified and managed in accordance with the process described in UTS 180 and the University's Conflict of Interest and Outside Activity policies. If upon review by the ICOI Committee, the committee finds that an individual conflict of interest management plan does not sufficiently address issues unique to institutional conflicts of interest, the ICOI Committee is empowered to impose additional restrictions to fully address institutional conflicts of interest.

Institutional

Institutional conflicts of interest may be identified through review of the University's financial interests and relationships, including licensing revenues, other ownership interests, gifts, grants, or donations. While the review of the University's financial interests will be ongoing, employees of the University may refer any matter suspected to involve an institutional conflict of interest to the ICOI Committee for review.

Managing and Monitoring ICOIs

If an institutional conflict of interest is identified and circumstances justify the activity, the ICOI Committee is empowered to develop, approve, implement and monitor management plans to minimize the risks of undue influence on decisions affecting the University's primary interests and missions. If the circumstances giving rise to an institutional conflict of interest do not justify the activity, the ICOI Committee is empowered to prohibit the activity. The ICOI Committee will review the management plan annually to determine if the conflict persists, document compliance with the plan, and assess the need to reissue or modify the plan.

If in doubt about the presence or absence of an institutional conflict of interest, an employee should refer the matter to the ICOI Committee for review. Noncompliance with this policy may subject employees to discipline in accordance with applicable procedures, up to and including termination of employment.

References:

UTS 175 and 180

IHOP Conflicts of Interest and Conflicts of Commitment

IHOP Outside Activity: Executive Officers and Employees Involved in Procurement Activities or Contract Management

IHOP Outside Activity: All Employees, Excluding Executive Officers and Employees Involved in Procurement Activities or Contract Management

IHOP Disclosure of Significant Financial Interests and Management and Reporting of Financial Conflicts of Interest in Research

Regent's Rules 30103 and 30104

Texas Government Code Chapter 572, Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest

Attachments:

No Attachments

	Committee	Approver	Date
		David Conley: Dir of Institutional Risk Mgt	07/2016
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